[Page 1 of 2]

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P21SMALL/REV03

REQUEST FOR FILING A PATENT APPLICATION UNDER 37 CFR 1.60 (Small Entity)		
8. New formal drawings are enclosed.		
9. Priority of foreign application number is claimed under 35 U.S.C. 11	filed on 19.	in
Country The certified copy has been filed in prior application Se	erial Number	filed on
10. ☐ A preliminary amendment is enclosed.		
11. A The prior application is assigned of record to: Target Therapeutics and the Regents of the University of Ca	alifornia	
12. Also enclosed:		
13. ☑ The power of attorney in the prior application is to: Daniel L. Dawes		
 a. The power of attorney appears in the original paper b. Since the power of attorney does not appear in the application is enclosed. c. Address all future correspondence to: (May only be Daniel L. Dawes 5252 Kenilworth Drive Huntington Beach, CA 92. 	original papers, a copy of the periods of the period of the periods of the period of the periods of the periods of the periods of the period of the periods of the period of the perio	
Dated: February 14 1997	Daniel L. Dawes Typed	Signature Or printed name
\	☐ Inventor(s)	27,123 Number (if applicable)
CC: University of California, Office of Technology Transfer	☐ Assignee of complete ☑ Attorney or agent of t ☐ Filed under 37 C.F.R.	record

CERTIFICATE OF M Applicant(s): Guido Gug	Docket No. M203e-D 36316.20332				
Serial No. Unknown	Filing Date Herewith	Examiner L. Cohen	Group Art Unit 3305		
Invention: Endovascular Electrolytically Detachable Wire and Tip for the Formation of Thrombus in Arteries, Veins, Anuerysms. Vascular Malformations and Arteriovenous Fistulas					

I hereby certify that this 37 CFR 1.60 request and the documents referred to as attached therein (Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

February 14, 1997

(Date)

Cyped or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

EM601094898US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.





68066 U.S. PTO 08801795

02/14/97

Patent M203c-D 36316.20323

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application Of: Guido Guglielmi et al.

Serial No.: 08/485,821

Filed: June 6, 1995

For: Improvements in an Endovascular Electrolytically Detachable Guidewire tip for the formation of the Thrombus in Arteries, Veins, aneurysms, Vascular Malformations and

Artneriovenous Fistulas

Examiner: L. Cohen

Group Art Unit: 3305

Notification in Parent Application of Filing Continuation Application

Commissioner of Patents and Trademarks Washington DC 20231

Sir:

Please take notice that a Continuation Application of the parent application has been filed pursuant to 37 CFR 1.60.

Respectfully/submitted,

Daniel L. Dawes Reg. No. 27123 714 6447740

fax 714 640 0913

Mailing Address:
Daniel L. Dawes
5252 Kenilworth Dr.

Huntington Beach, California 92649

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on February 14, 1997.

Date of Signature

Signatur

Lori M. Tillmar

FORM 4-3 Attorney's Docket No. UC Case No. 89-203-4 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE Anticipated Classification of this application: Class _ _ Subclass _ Prior application: L. Cohen Examiner: _ 3311 Art Unit: __ **Box Patent Application** Commissioner of Patents and Trademarks Washington, D.C. 20231 TRANSMITTAL OF FILING UNDER 37 CFR 1.60(b) WARNING: A C-I-P (continuation-in-part) cannot be filed under 37 CFR 1.60. WARNING: Filing under 37 CFR 1.60 is permitted only if filed by the same or less than all the inventors named in the prior application. 37 CFR 1.60(b)(3). WARNING: The filing of an application at the United States stage of an International Application requires an oath or declaration. 37 CFR 1.61(a)(4). WARNING: The claims of this new application may be finally rejected in the first Office action where all claims of the new application are drawn to the same invention claimed in the earlier application and would have been properly finally rejected on the grounds or art of record in the next Office action if they had been entered in the earlier application. MPEP § 706.07(b). This is a request for filing a Continuation X Divisional application under 37 CFR 1.60, of pending prior application Serial No. 0 8/_311,508 _____ filed on ___9-23-94 (Date) Guido Guglielmi and Ivan Sepetka (Inventor(s)) Endovascular Electrolytically Detachable Wire and Tip for the Formation (Title of invention) of Thrombus in Arteries, Veins, Aneurysms, Vascular Malformations and Arteriovenous Fistulas **CERTIFICATION UNDER 37 CFR 1.10** I hereby certify that this 37 CFR 1.60 request and the documents referred to as attached therein are being deposited with the United States Postal Service on this date __June_6, 1995 __ in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR 1.10, Mailing Label Number $\underline{TB8614336}$ addressed to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Maureen Vieira

(type or print name of person mailing paper)

(Signature of person mailing paper)

NOTE: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. (37 CFR 1.10(b)).

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 CFR 1,8 cannot be used to obtain a date of mailing or transmission for this correspondence.

NOTE: 37 CFR 1.60 permits the omission of a declaration only if the prior application was complete as set forth in 37 CFR 1.51(a), namely, the prior application comprised at least (1) a specification, including a claim or claims; (2) a declaration; (3) drawings when necessary; and (4) the prescribed filing fee. Accordingly, as presently worded, 37 CFR 1.60 does not permit this procedure to be used where the prior application is pending but only the processing and retention fee required by 37 CFR 1.21(i) is paid or where the declaration was not filed.

1. Copy of Prior Application as Filed Which is Attached

NOTE: Under 37 CFR 1.60, practice signing and execution of the application by the applicant may be omitted provided the copy is supplied by and accompanied by a statement by the applicant or his or her attorney or agent that the application papers comprise a true copy of the prior application as filed and that no amendments referred to in the declaration filed to complete the prior application introduced new matter NOTE: This statement need not be verified if made by an attorney registered to practice before the PTO. (37 CFR 1.60(b)). I hereby verify that the attached papers are a true copy of what is shown in my records to be the above identified prior application, including the oath or declaration originally filed (37 CFR 1.60). The copy of the papers of prior application as filed which are attached are as follows: 26 page(s) of specification 9 page(s) of claims $\frac{1}{2}$ page(s) of abstract 6 sheet(s) of drawing (also complete part 6 below if drawings are to be transferred) $\frac{3}{2}$ pages of declaration and power of attorney (If the copy of the declaration being filed does not show applicant's signature, because the attorney's records do not contain a copy of the signed declaration actually filed for the application, indicate thereon that it was signed and complete the following:) in accordance with the indication required by 37 CFR 60(b), my records reflect that the original signed declaration showing appli-

cant's signature was filed on .

the amendment referred to in the declaration filed to complete the prior application and I hereby state, in accordance with the requirements of 37 CFR

1.60(b), that this amendment did not introduce new matter therein.

2.	Λ	end	 4_
~	AITI	опп	nre

WARNING: "The claim of a new application may be finally rejected in the first Office action in those situations where (1) the new application is a continuing application of, or a substitute for, an earlier application, and (2) all the claims of the new application (a) are drawn to the same invention claimed in the earlier application, and (b) would have been properly finally rejected on the grounds or art of record in the next Office action if they had been entered in the earlier application." MPEP § 706.07(b).

- □ Cancel in this application original claims 1-3, 5-8 & 10-24 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)
- NOTE: Only amendments reducing the number of claims or adding a reference to the prior application (Rule 1.78(a)) will be entered before calculating the filing fee and granting the filing date. 37 CFR 1.60(b).
- NOTE: "When filing under Rule 1.60 retain at least one original claim from the patent application to assure a complete application." Notice of March 3, 1986 (1064 O.G. 37-38).
- 3. Petition for Suspension of Prosecution for the Time Necessary to File an Amendment

NOTE: Where it is possible that the claims on file will give rise to a first action final for this continuation application and for some reason an amendment cannot be filed promptly (e.g., experimental data is being gathered) it may be desirable to file a petition for suspension of prosecution for the time necessary).

(check the next item, if applicable)

- There is provided herewith a Petition To Suspend Prosecution For The Time Necessary to File An Amendment (New Application Filed Concurrently).
- 4. Information Disclosure Statement

(check this item, if applicable)

☐ An information disclosure statement is submitted herewith.

5. Fee Calculation (37 CFR 1.16)

	CLAIMS AS	FILED		
Number filed	Number Ext	га	Rate	Basic Fee 37 CFR 1.16(a) \$730.00
Total Claims (37 CFR 1.16(c))	2 -20= 0	×	\$ 22.00	0
Independent Claims (37 CFR 1.16(b))	1 -3= 0	×	\$ 76.00	0
Multiple dependent claim(s), i (37 CFR 1.16(d))	f any	+	\$240.00	0

6. Small Entity Status

A verified statement that this filing is by a small entity:

Filing Fee Calculation

☐ is attached

Filing Fee Calculation (50% of above) \$ 365.00

NOTE: Any excess of the full fee paid will be refunded if a verified statement is filed within 2 months of the date of timely payment of a full fee then the excess fee paid will be refunded on request. 37 CFR 1.28(a).

NOTE: 37 CFR 1.28(a), last sentence states: "Applications filed under § 1.60 or § 1.62 of this part must include a reference to a verified statement in a parent application if status as a small entity is still proper and desired."

7. Drawings

Drawings are enclosed

☐ formal

WARNING: DO NOT submit original drawings. A high quality copy of drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards of § 1.84. If corrections to the drawings are necessary, they should be made to the original drawings and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. Comments on proposed new 37 CFR 1.84. Notice of March 9, 1988 (1090 O.G. 57-62).

NOTE: "Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone number of a person to call if the Office is unable to match the drawings to the proper application. This Information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm. (5/8 inch) down from the top of the page." 37 C.F.R. 1.84(c)).

(37 CFR 1.60(b) [4-3]—page 4 of 9)

730.00

	8. Priori	rity—35 U.S.C. 119	
		Priority of application Serial No. 0 / fil	ed on
		claimed under 35 U.S.C. 119. (country)	
		The certified copy has been filed in prior U.S. application Serial N 0 / on	10.
		☐ The certified copy will follow.	
	9. Relat	ite Back—35 U.S.C. 120	
	×	Amend the specification by inserting, before the first line, the following se	entence:
		"This is a	
^		☐ continuation	
X		☑ divisional	
1,		of copending application(s)	
,		Serial number 08 / 311,508 filed on 9-23-94 "	
		International Application filed on which designated the U.S."	and
		The proper reference to a prior filed PCT application which entered the U.S. national phase is serial number and the filing date of the PCT application which designated the U.S. rentorship Statement	is the U.S.
		If the continuation or divisional application is filed by less than all the inventors named in application a statement must accompany the application when filed requesting deletion of the person or persons who are not inventors of the invention being claimed in the contiduisional application. 37 CFR 1.60(b) [emphasis added].	the names
		(complete appropriate items (a) and (b))	
	(a) W	Vith respect to the prior copending U.S. application from which this applications benefit under 35 USC 120 the inventor(s) in this application is	
		(complete applicable item below)	
		★ the same	
		less than those named in the prior application and it is requested following inventor(s) identified above for the prior application be	
		(type name(s) of inventor(s) to be deleted)	
	(b) Ti	he inventorship for all the claims in this application are	
		★ the same	
		not the same, and an explanation, including the ownership of the claims at the time the last claimed invention was made, is submit	

. Ass	ignm	ent	
Ø	The prior application is assigned of record to Target Therapeutics and The Regents of the University of Calif		
	An assignment of the Invention to		
	_		
	AC	attached. A separate	GNMENT (DOCUMENT) FORM PTO 1595 is also
NOTE:	If an a and or	essignment is submitted with a new application, send two separate le ne for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).	etters - one for the application
	a state	an assignee files a divisional application (under 1.60 ment filed under 37 CFR 3.73(b) in the parent application, or a co lotice of April 30, 1993, 1150 O.G. 62-64.	.) reference may be made to ppy of that statement may be
12. Fee	Payr	ment Being Made At This Time	
	No	t Enclosed	
		No filing fee is submitted. (This and the surcharge requand be paid subsequently).	uired by 37 CFR 1.16(e)
\boxtimes	End	closed	
	X	basic filing fee	\$ 365.00
		recording assignment (\$40.00; 37 CFR 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW PATENT APPLICATION".)	
		processing and retention fee (\$130.00; 37 CFR 1.53(d) and 1.21(l))	\$
fa C E	ailing t CFR 1. Pasic fi	R 1.21(I) establishes a fee for processing and retaining any application complete the application pursuant to 37 CFR 1.53(d) and this, a 53 and 1.78 indicate that in order to obtain the benefit of a prior ling fee must be paid or else the processing and retention fee of from notification under § 53(d).	as well as the changes to 37 rU.S. application, either the
		Total fees enclosed	\$ 365.00
13. Meth	nod d	of Payment of Fees	
\boxtimes	End	losed is a check in the amount of \$ 365.00	
	Cha A d	arge Account No in the amount o uplicate of this request is attached.	f \$
NOTE: F		nould be itemized in such a manner that is clear for which purpos	e the fees are paid. 37 CFR

(37 CFR 1.60(b) [4-3]—page 6 of 9)

14. A	uthor	ization To Charge Additional Fees			
WAR	NING:	If no fees are being paid on filing do not complete this item.			
WAR	WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charging if extra claim charges are authorized.				
The Commissioner is hereby authorized to charge the following addition which may be required by this paper and during the entire pendence application to Account No. 19-3725					
	5	(1) 37 CFR 1.16 (a), (f) or (g) (filling fees)			
	C	37 CFR 1.16 (b), (c) and (d) (presentation of extra claims)			
NOTE	mus set auth	ause additional fees for excess or multiple dependent claims not paid on filing or on later presentation it only be paid or these claims cancelled by amendment prior to the expiration of the time period for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)) it might be best not to norize the PTO to charge additional claim fees, except possibly when dealing with amendments after action.			
		37 CFR 1.17 (application processing fees)			
WAR	NING:	While 37 CFR 1.17(a), (b), (c) and (d) deal with extensions of time under § 1.136(a) this authorization should be made only with the knowledge that: "Submission of the appropriate extension fee under 37 CFR 1.136(a) is to no avail unless a request or petition for extension is filed." [emphasis added]. Notice of November 5, 1985 (1060 O.G. 27).			
		37 CFR 1.18 (issue fee at or before mailing Notice of Allowance, pursuant to 37 CFR 1.311(b)).			
NOTE.	of a	ere an authorization to charge the issue fee to a deposit account has been filed before the mailing Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time nailing the notice of allowance. 37 CFR 1.311(b)).			
NOTE: 37 CFR 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to sma entity status must be filed in the application prior to paying or at the time of paying issu- fee." From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even the fee is paid as "other than a small entity" and (b) no notification is required if the change is to anothe small entity.					
15. P	ower	of Attorney			
		The power of attorney in the prior application is to 1 L. Dawes			
	ttome				
a.	X	The power appears in the original papers in the prior application.			
b.		Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.			
C.		A new power has been executed and is attached.			
d.	XX A	Address all future communications to			
((item	d may only be completed by applicant, or attorney or agent of record)			
·	_[Daniel L. Dawes 0252 Kenilworth Drive Huntington Beach, California 92649			

(37 CFR 1.60(b) [4-3]—page 7 of 9)

16. Maintenance of Copendency of Prior Application
(this item must be completed and the papers filed in the prior application if the period set in the prior application has run.)
A petition, fee and response has been filed to extend the term in the pendin prior application until
NOTE: The PTO finds it useful if a copy of the petition filed in the prior application extending the term for response is filed with the papers constituting the filing of the Continuation Application. Notice November 5, 1985 (1060 O.G. 27).
A copy of the petition for extension of time in the prior application attached.
17. Conditional Petition for Extension of Time in Prior Application
(complete this item and file conditional petition in the prior application if previous item not applicable)
 A conditional petition for extension of time is being filed in the pending parer application.
NOTE: The PTO finds it useful if a copy of the petition filed in the prior application extending the term for response is filed with the paper constituting the filing of the continuation application. Notice of November 5, 1985 (1060 O.G. 27).
 A copy of the conditional petition for extension of time in the prior applicatio is attached.
18. Abandonment of Prior Application (if applicable)
WARNING: (Do not complete this item if the application being filed is a divisional of the prior application whic is not being abandoned).
NOTE: "A registered attorney or agent acting under the provisions of § 1.34(a), or of record, may also express abandon a prior application as of the filing date granted to a continuing application when filing suc a continuing application." 37 CFR 1.138.
Please abandon the prior application at a time while the prior application i pending or when the petition for extension of time or to revive in that applicatio is granted and when this application is granted a filing date so as to make thi application copending with said prior application.
19. Notification in Parent Application of the Filing of This Continuation Application
A notification of the filing of this continuation is being filed in the parent application from which this application claims priority unde 35 USC § 120.

 _	_	_	
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 ,	
(Rel.63-1/95 Pub.605)	FORM 4-3

20. Statement by Assignee (if applicable)	
establishing my/our ownership of the to the best of my/our knowledge and be	have reviewed the evidentiary documents application identified herein, and certify that elief, title is with me/us who seek to take action.
•	ed herewith for recordal
and that all statements made on information that these statements were made with the k like so made are punishable by fine or impri	
	Daniel K./Dawes
(i) (i) 95	Daniel X. Dawes (type or print name of person signing declaration) Grandline
5252 Kenilworth Drive	<i></i>
(P.O. Address of Signatory)	
Huntington Beach, CA 92649	
Tel. No. :(714) 644-7740 Reg. No. 27,123 / (if applicable)	 ☐ Inventor ☐ Assignee of complete interest ☐ Person authorized to sign on behalf of assignee ☒ Attorney or agent of record ☐ Filed under Rule 34(a)
(complete the foli	lowing if applicable)
(Type name of assignee)	(Title of person authorized to sign on behalf of assignee)
(Address of assignee)	Assignment recorded in PTO on
	Reel Frame
The statement under 37 CFR 3.73(b)	
has been filed in the parent app	dication

a copy of the statement previously filed in the parent application is attached.

(37 CFR 1.60(b) [4-3]—page 9 of 9)



Guglielmi et al. (UC) M203a-D PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: GUIDO GUGLIELMI et al.

TITLE: IMPROVEMENTS IN AN ENDOVASCULAR ELECTROLYTICALLY DETACHABLE WIRE AND TIP FOR THE FORMATION OF THROMBUS IN ARTERIES, VEINS, ANEURYSMS, VASCULAR MALFORMATIONS AND ARTERIOVENOUS FISTULAS

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington,

D.C. 20231, on FEB. 20, 1992

(Date of Deposit)

Macree Vicin

Date of Signature: Ach. 20, 1992

STATEMENT OF CANDOR

Hon. Commissioner of Patents and Trademarks Washington, D,C. 20231

Dear Sir:

Pursuant to the rules of candor and ethics of the United States Patent Office, the undersigned states that the phrase "Vasoocclusion Coil with Attached Fiberous Elements, filed Oct. 2, 1991, serial number 07/771,013" at page 21, lines 9 and 10, and the word "may" at page 21, line 8, was added to the specification after the declaration was signed by the inventors.

A supplementary declaration will be filed at the appropriate time in the prosecution of the matter. The addition is not believed to be material to the disclosure of the specification or its patentability.

Respectfully submitted,

Daniel L. Dawes Reg. 27123

100 Corporate Pointe, Ste 330 Culver City, California 90230 714 644 7740